

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Serial No.: 10/813,696 Confirmation No.: 6139

Applicant(s): CHAUDHARI, et al. Group Art Unit: 1621  
Examiner: Zucker, Paul A.

Filed: March 29, 2004

For: IMPROVED PROCESS FOR PREPARATION OF ESTERS OF HYDROXY TIGLIC  
ALDEHYDES

**TRANSMITTAL OF NOTIFICATION OF CHANGE IN ENTITY STATUS  
AND CORRECTION OF FEE DEFICIENCY UNDER 37 C.F.R. § 1.28(c)**

Mail Stop ISSUE FEE  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:


Transmitted herewith are the following items under 37 C.F.R. § 1.28(c) for a Notification of Change in Entity Status and Correction of Fee Deficiency in the above-identified application:

- ☒ Notification of Change in Entity Status and Correction of Fee Deficiency Under 37 C.F.R. § 1.28(c).
- ☐ A check for the required fee of \$\_\_\_\_\_ is enclosed.
- ☒ Since the electronic filing system (EFS) provided by the USPTO is not enabled for the payment of deficiencies related to the entity status change, please charge the required fee of **\$459.00** for the Correction of Fee Deficiency to Deposit Account No. **13-4500**, Order No. **3097-4015**.
- ☒ The Commissioner is hereby authorized to charge any additional fees which may be required by this paper, or credit any overpayment to Deposit Account No. **13-4500**, Order No. **3097-4015**

Respectfully submitted,  
MORGAN & FINNEGAN, L.L.P.

Dated: September 19, 2007

By: \_\_\_\_\_

  
Evelyn M. Kwon  
Registration No. 54,246

Correspondence Address:

MORGAN & FINNEGAN, L.L.P.  
3 World Financial Center  
New York, NY 10281-2101

(212) 415-8700 Telephone  
(212) 415-8701 Facsimile

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Serial No.: 10/813,696 Confirmation No.: 6139

Applicant(s): CHAUDHARI, et al. Group Art Unit: 1621  
Examiner: Zucker, Paul A.

Filed: March 29, 2004

For: IMPROVED PROCESS FOR PREPARATION OF ESTERS OF HYDROXY TIGLIC  
ALDEHYDES

Mail Stop ISSUE FEE  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**NOTIFICATION OF CHANGE IN ENTITY STATUS  
AND CORRECTION OF FEE DEFICIENCY UNDER 37 C.F.R. §1.28(c)**

Sir:

The undersigned representative's firm received electronic communications dated September 17 and September 18, 2007, from the foreign associate representing Assignee, Council of Scientific & Industrial Research, confirming that an inadvertent error was made by not claiming large entity status at the time the above-referenced application was filed. A copy of the aforementioned e-mails are attached hereto. The correct entity status is now established.

The payment for the filing fees of the above-referenced application filed on March 29, 2004, has already been secured and the fee paid therefore of \$394 is added to the total fee due claiming large entity status.

The payment for the late filing of an executed declaration/power of attorney document has already been secured on August 20, 2004, and the fee paid therefore of \$65 is added to the total fee due claiming large entity status.

The payment for a three month extension has already been secured on March 29, 2007, and the fee paid of \$1,020 as indicated in our transmittal document are sufficient government fees for large entity status. It is believed that no further fees are due.

The table below lists the small entity fee paid, its date of payment, the deficiency owed and the total deficiency owed.

Type of Fee	Small Entity Fee Actually Paid	Date of Payment	Deficiency Owed
Application filing fees	\$394	March 29, 2004	<b>\$394</b>
Surcharge for the late filing of an executed declaration/power of attorney document	\$ 65	August 20, 2004	<b>\$ 65</b>
			<b>TOTAL DEFICIENCY: \$459</b>

Since the electronic filing system (EFS) provided by the USPTO is not enabled for the payment of deficiencies related to the entity status change, please charge the required fee of \$459 to Deposit Account No.: 13-4500, Order No.: 3097-4015.

Applicants believe that there are no other fees erroneously paid.

#### **AUTHORIZATION**

In accordance with 37 C.F.R. §1.28 (c), the Commissioner is hereby authorized to charge the Deposit Account 13-4500, Order No. 3097-4015 for any additional deficiencies related to fees paid as a small entity.

If the Commissioner has any questions regarding the above matter, or wishes clarification of the matter discussed above, the Commissioner is invited to contact the undersigned.

Dated: September 19, 2007

Respectfully submitted,  
MORGAN & FINNEGAN, L.L.P.

By: 

Evelyn M. Kwon

Registration No. 54,246

Correspondence Address  
MORGAN & FINNEGAN, L.L.P.  
3 World Financial Center  
New York, New York 10281  
(212) 415-8700 / (212) 415-8701 (facsimile)

**Ilin-Schneider, Serge**

---

**From:** ANUPAM [anupam@knspartners.com]  
**Sent:** Tuesday, September 18, 2007 7:24 AM  
**To:** Ilin-Schneider, Serge  
**Cc:** nair@knspartners.com  
**Subject:** RE: URGENT- DUE SEPT 19th- U.S. Patent Application No. 10/813,696; Your Ref.: FP01856-0092NF04; Our Ref.: 3097-4015  
**Importance:** High

September 18, 2007

**URGENT!!!!!!!**

Dear Serge,

Thank you for your e-mail below.

We regret for our mistake for apprising you the status of CSIR as a small entity in our order letter. We apologies for the same.

However, we have already processed your invoice for the prepayment of the issue fees of 700 \$ in the said application. We shall expect that in day or two you will receive the payment. However, in case you do not receive the same by September 19, 2007, we request you to kindly pay the issue fee before the due date.

Thanking you in anticipation of favorable response.

Best Regards,

*Anupam Trivedi (Mr.)*


*K & S PARTNERS,*


*Intellectual Property Attorneys*

*84-C,C-6 Lane, Off Central Avenue*

*Sainik Farms,*

*New Delhi-110 062*

 + 91 (11) 29551801, 29551187, 29551955 , 29551621, 29551182 Ext: 110

 + 91 (11) 29551889/29552077

 *anupam@knspartners.com*

**www.knspartners.com**

---

**From:** Ilin-Schneider, Serge [mailto:silin-schneider@morganfinnegan.com]

**Sent:** Monday, September 17, 2007 8:29 PM

**To:** nair@knspartners.com; anupam@knspartners.com

**Cc:** Marcus, Michael S.; Kwon, Evelyn

**Subject:** URGENT- DUE SEPT 19th- U.S. Patent Application No. 10/813,696; Your Ref.: FP01856-0092NF04; Our Ref.: 3097-4015

**Importance:** High

URGENT. PLEASE IMMEDIATELY DIRECT TO **MR. ANUPAM TRIVEDI**  
KINDLY ACKNOWLEDGE RECEIPT.

9/19/2007

Re: U.S. Patent Application No. 10/813,696  
For: IMPROVED PROCESS FOR PREPARATION OF ESTERS OF HYDROXY TIGLIC ALDEHYDES  
Your Ref.: FP01856-0092NF04/AT/sm // Our Ref.: 3097-4015

Dear Anupam,

Thank you for your prompt response.

Further to your email, we have additional questions. Regarding the entity size of the applicant/assignee "Council of Scientific and Industrial Research", in your email response you state that the applicant is a "Large Entity." However, based on your instruction letter of March 26, 2004, the data sheet indicated that the applicant "Council of Scientific and Industrial Research" was a "Small Entity" and the application initially filed on March 29, 2004 was filed accordingly.

Please inform us of the specific details regarding this change in the entity size/status? For example, when and how the entity status changed.

Should you have any questions or comments, please do not hesitate to contact us. We look forward to your prompt response in view of the upcoming **September 19, 2007** deadline.

Please note that the issue fee and publication fee for a LARGE entity is \$1,700. Since you have already made a prepayment of \$1,000, please remit a further prepayment of \$700 by the **September 19, 2007** deadline (**NEW YORK time**). The invoice is attached herewith for your convenience.

Best Regards,  
Serge

**Serge Ilin-Schneider, Ph.D.**  
**Scientific Advisor**

**Morgan & Finnegan, L.L.P.**  
3 World Financial Center  
New York, NY 10281-2101  
Direct Dial: (212) 415-8531  
Main Number: (212) 415-8700  
Fax: (212) 415-8701  
e-mail: [silin-schneider@morganfinnegan.com](mailto:silin-schneider@morganfinnegan.com)  
Website: [www.morganfinnegan.com](http://www.morganfinnegan.com)

**New York \* Washington, D.C. \* California**

THIS TRANSMISSION, AND ANY ATTACHED FILES, MAY CONTAIN INFORMATION FROM THE LAW FIRM OF MORGAN & FINNEGAN, L.L.P. WHICH IS CONFIDENTIAL AND/OR LEGALLY PRIVILEGED. SUCH INFORMATION IS INTENDED ONLY FOR THE USE OF THE INDIVIDUAL OR ENTITY TO WHOM THIS TRANSMISSION IS ADDRESSED. IF YOU ARE NOT THE INTENDED RECIPIENT, YOU ARE HEREBY NOTIFIED THAT ANY DISCLOSURE, COPYING, DISTRIBUTION OR THE TAKING OF ANY ACTION IN RELIANCE ON THE CONTENTS OF THIS TRANSMITTED INFORMATION IS STRICTLY PROHIBITED, THAT COPIES OF THIS TRANSMISSION AND ANY ATTACHED FILES SHOULD BE DELETED FROM YOUR DISK DIRECTORIES IMMEDIATELY, AND THAT ANY PRINTED COPIES OF THIS TRANSMISSION OR ATTACHED FILES SHOULD BE RETURNED TO THIS FIRM. IF YOU HAVE RECEIVED THIS TRANSMISSION IN ERROR, PLEASE NOTIFY US BY TELEPHONE OR E-MAIL IMMEDIATELY, AND WE WILL ARRANGE FOR THE RETURN TO MORGAN & FINNEGAN OF ANY PRINTED COPIES AT NO COST TO YOU.

-----Original Message-----

**From:** [nair \[mailto:nair@knspartners.com\]](mailto:nair@knspartners.com)  
**Sent:** Monday, September 17, 2007 3:00 AM  
**To:** Ilin-Schneider, Serge  
**Cc:** [anupam@knspartners.com](mailto:anupam@knspartners.com)

9/19/2007

**Subject:** FW: URGENT- DUE SEPT 19th- U.S. Patent Application No. 10/813,696; Your Ref.: FP01856-0092NF04; Our Ref.: 3097-4015

**Importance:** High

Dear Serge,

Thank you for your below e-mail. Please note our reply to your queries, point-wise, as under:

- 1) Yes
- 2) The applicant/assignee is a 'Large Entity'.
- 3) Yes

Please confirm receipt of this e-mail and also let us have your report after the Issue/Publication Fee has been paid.

Regards,

Anupam Trivedi  
**K & S PARTNERS**  
84-C C-6 Lane  
Off Central Avenue  
Sainik Farms  
New Delhi 110 062  
India

Tel: +91(11) 2955 1187, 2955 1621, 2955 1955, 2955 1182

Fax: +91(11) 2955 2077, 2955 1889, 2955 2717

E-mail: anupam@knspartners.com

---

**From:** Ilin-Schneider, Serge [mailto:silin-schneider@morganfinnegan.com]

**Sent:** Saturday, September 15, 2007 3:12 AM

**To:** anupam@knspartners.com

**Cc:** nair ; Marcus, Michael S.; Kwon, Evelyn

**Subject:** URGENT- DUE SEPT 19th- U.S. Patent Application No. 10/813,696; Your Ref.: FP01856-0092NF04; Our Ref.: 3097-4015

**Importance:** High

URGENT. PLEASE IMMEDIATELY DIRECT TO MR. ANUPAM TRIVEDI  
KINDLY ACKNOWLEDGE RECEIPT.

Re: U.S. Patent Application No. 10/813,696

For: IMPROVED PROCESS FOR PREPARATION OF ESTERS OF HYDROXY TIGLIC  
ALDEHYDES

Your Ref.: FP01856-0092NF04/AT/sm // Our Ref.: 3097-4015

Dear Mr. Trivedi:

Thank you for the prepayment of \$1,000. We will submit the issue fee payment in the United States Patent and Trademark Office by **September 19, 2007**.

With respect to our letter of August 7, 2007 and your email response of August 8, 2007, we acknowledge that no continuation application is to be filed for the above-referenced matter. However, we would like to confirm several other formalities.

Please confirm that:

- 1) all of the inventors contributed to the conception of the allowed claims;
- 2) the Assignee on the face of this patent should be the Council of Scientific & Industrial Research, New

9/19/2007

Delhi, India, which is for this matter considered to be a Small Entity; and  
3) all material art has been cited. In particular, please confirm that all references cited in foreign Patent Offices have been brought to our attention so that we may file it in this corresponding U.S. application. Failure to comply with this duty renders an issued patent invalid and loss of U.S. Patent rights .

Should you have any questions or comments, please do not hesitate to contact us. We look forward to your prompt response in view of the upcoming **September 19, 2007** deadline.

Best Regards,  
Serge

**Serge Ilin-Schneider, Ph.D.**  
**Scientific Advisor**

**Morgan & Finnegan, L.L.P.**  
3 World Financial Center  
New York, NY 10281-2101  
Direct Dial: (212) 415-8531  
Main Number: (212) 415-8700  
Fax: (212) 415-8701  
e-mail: [silin-schneider@morganfinnegan.com](mailto:silin-schneider@morganfinnegan.com)  
Website: [www.morganfinnegan.com](http://www.morganfinnegan.com)

**New York \* Washington, D.C. \* California**

THIS TRANSMISSION, AND ANY ATTACHED FILES, MAY CONTAIN INFORMATION FROM THE LAW FIRM OF MORGAN & FINNEGAN, L.L.P. WHICH IS CONFIDENTIAL AND/OR LEGALLY PRIVILEGED. SUCH INFORMATION IS INTENDED ONLY FOR THE USE OF THE INDIVIDUAL OR ENTITY TO WHOM THIS TRANSMISSION IS ADDRESSED. IF YOU ARE NOT THE INTENDED RECIPIENT, YOU ARE HEREBY NOTIFIED THAT ANY DISCLOSURE, COPYING, DISTRIBUTION OR THE TAKING OF ANY ACTION IN RELIANCE ON THE CONTENTS OF THIS TRANSMITTED INFORMATION IS STRICTLY PROHIBITED, THAT COPIES OF THIS TRANSMISSION AND ANY ATTACHED FILES SHOULD BE DELETED FROM YOUR DISK DIRECTORIES IMMEDIATELY, AND THAT ANY PRINTED COPIES OF THIS TRANSMISSION OR ATTACHED FILES SHOULD BE RETURNED TO THIS FIRM. IF YOU HAVE RECEIVED THIS TRANSMISSION IN ERROR, PLEASE NOTIFY US BY TELEPHONE OR E-MAIL IMMEDIATELY, AND WE WILL ARRANGE FOR THE RETURN TO MORGAN & FINNEGAN OF ANY PRINTED COPIES AT NO COST TO YOU.

-----Original Message-----

**From:** nair [mailto:[nair@knspartners.com](mailto:nair@knspartners.com)]

**Sent:** Friday, September 14, 2007 6:54 AM

**To:** Ilin-Schneider, Serge

**Cc:** [anupam@knspartners.com](mailto:anupam@knspartners.com)

**Subject:** FW: URGENT- DUE SEPT 19th- U.S. Patent Application No. 10/813,696; Your Ref.: FP01856-0092NF04; Our Ref.: 3097-4015

**Importance:** High

Dear Serge,

We confirm that we have today wire-transferred you an amount of USD 1000 in settlement of your Invoice No. 260823. We shall revert with the wire transfer advice on Monday, the 17th September 2007.

Regards,

K S K Nair (Mr.)  
For Anupam Trivedi  
(E-mail: [anupam@knspartners.com](mailto:anupam@knspartners.com))

9/19/2007

**K & S PARTNERS**

84-C C-6 Lane  
Off Central Avenue  
Sainik Farms  
New Delhi 110 062  
India

Tel: +91(11) 2955 1187, 2955 1621, 2955 1955, 2955 1182

Fax: +91(11) 2955 2077, 2955 1889, 2955 2717

E-mail: [nair@knspartners.com](mailto:nair@knspartners.com)

This transmission is from the law firm of K & S Partners and contains information that is confidential and/or legally privileged. It is intended for use only by the person to whom it is directed. If you have received this message in error, please notify us by telephone immediately.

---

**From:** nair [mailto:[nair@knspartners.com](mailto:nair@knspartners.com)]

**Sent:** Thursday, September 13, 2007 1:48 PM

**To:** 'silin-schneider@morganfinnegan.com'

**Subject:** FW: URGENT- DUE SEPT 19th- U.S. Patent Application No. 10/813,696; Your Ref.: FP01856-0092NF04; Our Ref.: 3097-4015

**Acknowledged with thanks.**

---

**From:** Ilin-Schneider, Serge [mailto:[silin-schneider@morganfinnegan.com](mailto:silin-schneider@morganfinnegan.com)]

**Sent:** Wednesday, September 12, 2007 11:42 PM

**To:** anupam@knspartners.com

**Cc:** Marcus, Michael S.; Kwon, Evelyn

**Subject:** URGENT- DUE SEPT 19th- U.S. Patent Application No. 10/813,696; Your Ref.: FP01856-0092NF04; Our Ref.: 3097-4015

**Importance:** High

URGENT. PLEASE IMMEDIATELY DIRECT TO **MR. ANUPAM TRIVEDI**  
KINDLY ACKNOWLEDGE RECEIPT.

Re: U.S. Patent Application No. 10/813,696

For: IMPROVED PROCESS FOR PREPARATION OF  
ESTERS OF HYDROXY TIGLIC ALDEHYDES

Your Ref.: FP01856-0092NF04/AT/sm // Our Ref.: 3097-4015

Dear Mr. Trivedi:

As a reminder, in regard to the above-referenced application, we are awaiting a prepayment of the issue fee and publication fee for a small entity totaling **\$1,000**. The payment must be submitted in the United States Patent and Trademark Office by September 19, 2007. **This period cannot be extended**. If the payment is not submitted by this deadline, the application will go abandoned.

Please remit the payment to Morgan & Finnegan, L.L.P. no later than September 17, 2007.

Should you have any questions or comments, please do not hesitate to contact us.  
Otherwise, we look forward to the prepayment by **September 17, 2007**.

Sincerely,  
Serge

9/19/2007



**Serge Ilin-Schneider, Ph.D.**  
**Scientific Advisor**

**Morgan & Finnegan, L.L.P.**  
3 World Financial Center  
New York, NY 10281-2101  
Direct Dial: (212) 415-8531  
Main Number: (212) 415-8700  
Fax: (212) 415-8701  
e-mail: [silin-schneider@morganfinnegan.com](mailto:silin-schneider@morganfinnegan.com)  
Website: [www.morganfinnegan.com](http://www.morganfinnegan.com)

**New York \* Washington, D.C. \* California**

THIS TRANSMISSION, AND ANY ATTACHED FILES, MAY CONTAIN INFORMATION FROM THE LAW FIRM OF MORGAN & FINNEGAN, L.L.P. WHICH IS CONFIDENTIAL AND/OR LEGALLY PRIVILEGED. SUCH INFORMATION IS INTENDED ONLY FOR THE USE OF THE INDIVIDUAL OR ENTITY TO WHOM THIS TRANSMISSION IS ADDRESSED. IF YOU ARE NOT THE INTENDED RECIPIENT, YOU ARE HEREBY NOTIFIED THAT ANY DISCLOSURE, COPYING, DISTRIBUTION OR THE TAKING OF ANY ACTION IN RELIANCE ON THE CONTENTS OF THIS TRANSMITTED INFORMATION IS STRICTLY PROHIBITED, THAT COPIES OF THIS TRANSMISSION AND ANY ATTACHED FILES SHOULD BE DELETED FROM YOUR DISK DIRECTORIES IMMEDIATELY, AND THAT ANY PRINTED COPIES OF THIS TRANSMISSION OR ATTACHED FILES SHOULD BE RETURNED TO THIS FIRM. IF YOU HAVE RECEIVED THIS TRANSMISSION IN ERROR, PLEASE NOTIFY US BY TELEPHONE OR E-MAIL IMMEDIATELY, AND WE WILL ARRANGE FOR THE RETURN TO MORGAN & FINNEGAN OF ANY PRINTED COPIES AT NO COST TO YOU.